

10/14/01  
JCS39 U.S. PTO

06-18-01  
A

**EXPRESS MAIL:**

"Express Mail" mailing label No. EL544961972US  
Date of Deposit June 14, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Seini Matangi

(Typed or printed name of person mailing paper or fee)

Seini Matangi  
(Signature of person mailing paper or fee)

J1040 U.S. PTO  
06/14/01  
09/88277

Patent  
Attorney's Docket No. 002010-345

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**UTILITY PATENT  
APPLICATION TRANSMITTAL LETTER**

**Box PATENT APPLICATION**  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Enclosed for filing is the utility patent application of James E. Audia, Thomas E. Mabry, Jeffrey A. Nissen, Stacey L. McDaniel, and Warren J. Porter for POLYCYCLIC  $\alpha$ -AMINO- $\epsilon$ -CAPROLACTAMS AND RELATED COMPOUNDS.

Applicant(s) hereby request(s) that the above-captioned application **NOT BE PUBLISHED** under 35 U.S.C. § 122(b) and 37 C.F.R. § 1.211. The undersigned hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication at eighteen months after filing.

Applicant(s) suggest(s) Figure   for inclusion on the front page of the patent application publication and patent.

Also enclosed are:

  sheet(s) of  formal  informal drawing(s);

a claim for foreign priority under 35 U.S.C. §§ 119 and/or 365 is  hereby made to   filed in   on  ;

in the declaration;

a certified copy of the priority document;

a General Authorization for Petitions for Extensions of Time and Payment of Fees;

an Assignment document;

an Information Disclosure Statement;

a patent application bibliographic data sheet; and



21839

Other: Application Cover Page; and an Acknowledgment Postcard

An  executed  unexecuted declaration of the inventor(s)

also is enclosed  will follow.

Please amend the specification by inserting before the first line the sentence --This application claims priority under 35 U.S.C. §§ 119 and/or 365 to        filed in        on       ; the entire content of which is hereby incorporated by reference.--

Please amend the specification by inserting before the first line the sentence:

--This application is a Continuation in Part of Application No. 09/337,408 filed on May 11, 2001, which is a Continuing Prosecution Application of U.S. Application No. 09/337,408 filed June 21, 1999, which claims the benefit of U.S. Provisional Application No. 60/160,066, filed June 22, 1998.--

Small entity status is hereby claimed.

The filing fee has been calculated as follows  and in accordance with the enclosed preliminary amendment:

C L A I M S					
	NO. OF CLAIMS		EXTRA CLAIMS	RATE	FEE
Basic Application Fee					\$710.00 (101)
Total Claims	59	MINUS 20 =	39	× \$18.00 (103) =	702.00
Independent Claims	3	MINUS 3 =	0	× \$80.00 (102) =	
If multiple dependent claims are presented, add \$270.00 (104)					
Total Application Fee					
If small entity status is claimed, subtract 50% of Total Application Fee					
Add Assignment Recording Fee \$ if Assignment document is enclosed					
<b>TOTAL APPLICATION FEE DUE</b>					<b>1412.00</b>

This application is being filed without a filing fee. Issuance of a Notice to File Missing Parts of Application is respectfully requested.

A check in the amount of \$ 1412.00 is enclosed for the fee due.

Charge \$ \_\_\_\_\_ to Deposit Account No. 02-4800 for the fee due.

The Commissioner is hereby authorized to charge any appropriate fees under 37 C.F.R. §§ 1.16, 1.17 and 1.21 that may be required by this paper, and to credit any overpayment, to Deposit Account No. 02-4800. This paper is submitted in duplicate.

Please address all correspondence concerning the present application to:

Gerald F. Swiss, Esq.  
BURNS, DOANE, SWECKER & MATHIS, L.L.P.  
P.O. Box 1404  
Alexandria, Virginia 22313-1404.

Respectfully submitted,  
BURNS, DOANE, SWECKER & MATHIS, L.L.P.

Date: June 14, 2001  
By: Lawrence S. Squires  
Lawrence S. Squires  
Registration No. 24,060

P.O. Box 1404  
Alexandria, Virginia 22313-1404  
(650)622-2300

"Express Mail" mailing label No. EL544961972US

Date of Deposit June 14, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to BOX PATENT APPLICATION, Assistant Commissioner for Patents, Washington, D.C. 20231.

Seini Matangi

(Typed or printed name of person mailing paper or fee)

  
(Signature of person mailing paper or fee)

PATENT  
Attorney Docket No. 002010-345

BE IT KNOWN, that WE, JAMES E. AUDIA, resident of Indianapolis, Indiana; THOMAS E. MABRY, resident of Indianapolis, Indiana; JEFFREY A. NISSEN, resident of Indianapolis, Indiana; STACEY L. MCDANIEL, resident of Indianapolis, Indiana; and WARREN J. PORTER., resident of Indianapolis, Indiana; all citizens of the United States of America, have invented new and useful improvements in

**POLYCYCLIC  $\alpha$ -AMINO- $\epsilon$ -CAPROLACTAMS AND RELATED COMPOUNDS**